

NON-RECURRING CHARGES

Filing Requirements Checklist

(Applicable Regulation: 807 KAR 5:011, Section 10)

Case No. _____ Utility Name _____ Received Date _____ Form Circulation Date _____

Instructions:

- 1) Each Division noted by checkmark () is to complete its review and pass on within two days of receipt.
- 2) This form is to list only the specific filing deficiencies as identified in the regulations. If additional information is needed, an information request must be issued.
- 3) Staff member should use initials and list date review is completed.
- 4) Return to Docket Section following review by all Divisions.

Reviewed by Following Divisions:

		<u>Staff Member</u>	<u>Date</u>
_____	Filings Division	_____	_____
_____	Financial Analysis	_____	_____
_____	Engineering	_____	_____
_____	Legal	_____	_____

Division <u>Responsible</u>	<u>Law/Regulation</u>	<u>Filing Requirement</u>	<u>Requirement</u>		<u>Waiver</u>	<u>F/A</u>	
			<u>Met</u>		<u>Requested</u>	<u>Approved</u>	
			<u>YES</u>	<u>NO</u>	<u> </u>	<u>Waiver?</u>	<u> </u>
	<u>807 KAR 5:001:</u>						
Filings Division	Section 8(1)	Full name and post office address of applicant and a reference to the particular provision of law requiring Commission approval.	<u> </u>	<u> </u>	<u> </u>	<u> </u>	<u> </u>
Filings Division	Section 8(2)	The original and 10 copies of the application with an additional copy for any party named therein as an interested party.	<u> </u>	<u> </u>	<u> </u>	<u> </u>	<u> </u>

<u>Division Responsible</u>	<u>Law/Regulation</u>	<u>Filing Requirement</u>	<u>Requirement Met</u>		<u>Waiver Requested</u>	<u>F/A Approved Waiver?</u>	
			<u>YES</u>	<u>NO</u>		<u>YES</u>	<u>NO</u>
Legal	Section 8(3)	If applicant is a corporation, a certified copy of the Articles of Incorporation and all amendments thereto <u>or</u> if the articles were filed with the PSC in a prior proceeding, a reference to the style and case number of the prior proceeding.	___	___	___	___	___
	<u>807 KAR 5:011:</u>						
Legal	Section 8, 9(2)	Is copy of public notice included?	___	___	___	___	___
Legal	Section 8	If copy of public notice is included, did it meet requirements?*(For sewers, direct mailing is required. See KRS 278.185)	___	___	___	___	___
Legal	278.180	Has 30 days' notice been given to the Commission? (No effective date means no notice given and this is acceptable.)	___	___	___	___	___
	<u>807 KAR 5:011</u>						
Legal	Section 10(1)(b)	Statement by utility confirming that copy of filing was simultaneously sent to the Attorney General (Attorney General has 10 days to notify PSC if he requests a hearing.)	___	___	___	___	___
Financial Analysis	Section 10(1)(a)	--Cost justification for each rate change proposed.	___	___	___	___	___
		--Full description of the equipment item(s) or the service(s) for which the rate change is proposed.	___	___	___	___	___

<u>Division Responsible</u>	<u>Law/Regulation</u>	<u>Filing Requirement</u>	<u>Requirement Met</u>		<u>Waiver Requested</u>	<u>F/A Approved Waiver?</u>	
			<u>YES</u>	<u>NO</u>		<u>YES</u>	<u>NO</u>
Financial Analysis	Section 10(1)(c)	Statement explaining why proposed changes could not have been included in last rate case and why current conditions prevent deferring change until next rate case.	—	—	—	—	—
Financial Analysis	Section 10(1)(d)	Impact statement identifying group of customers (both existing and potential) affected by proposed change.	—	—	—	—	—
Financial Analysis	Section 10(1)(e)	Income statement and balance sheet for a recent 12-month period.	—	—	—	—	—
Financial Analysis	Section 10(2)	If the additional revenue to be generated from the proposed tariff revisions exceeds by five (5) percent the total revenues provided by all miscellaneous and non-recurring charges for a recent twelve (12) month period, the utility must file, in addition to the information set out in subsection (1)(a) of this section, the following: An absorption test showing that the additional net income generated by the tariff filing will not result in an increase in the rate of return (or other applicable valuation methods) to a level greater than that allowed in the most recent rate case. Any general rate increases received during the twelve (12) month period must be annualized. Any significant cost changes may be included but must be documented as part of the filing.	—	—	—	—	—

